

PCT/PTO 23 OCT 2000

Form PTO-1390

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

P19945

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/622904

INTERNATIONAL APPLICATION NO.

PCT/KR99/00100

INTERNATIONAL FILING DATE

4 March 1999

PRIORITY DATE CLAIMED

5 March 1998

TITLE OF INVENTION

THEFT PREVENTION DEVICE FOR INFORMATION-STORED DISK

APPLICANT(S) FOR DO/EO/US

Jae Yeon AHN

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information.

1. ☐ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
  2. ☒ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
  3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
  4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(C)(2))
    - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ has been transmitted by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☒ A Translation of the International Application into English (35 U.S.C. 371 (c)(2)).
  7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
    - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ have been transmitted by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☐ have not been made and will not be made.
  8. ☒ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3))
  9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).  
"Executed"
  10. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (U.S.C. 371(c)(5)).
- Items 11. to 16. below concern other document(s) or information included:
11. ☒ An information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
  13. ☐ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
  14. ☐ A substitute specification.
  15. ☐ A change of power of attorney and/or address letter.
  16. ☒ Other items or information:
    - Cover Letter.
    - Verified Statement (Declaration) Claiming Small Entity Status (37 CFR 1.9 (f) and 1.27 (b)).
    - Copy of Form PCT/DO/EO/905

U.S. APPLICATION NO. (If known, see 37

09/622,904

INTERNATIONAL APPLICATION NO.

PCT/KR99/00100

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P19945

17. ☒ The following fees are submitted:

CALCULATIONS

PTO USE ONLY

Basic National Fee (37 CFR 1.492(a)(1)-(5)):

Search report has been prepared by the EPO or JPO. . . . . \$ 840.00

International preliminary examination fee paid to USPTO (37 CFR 1.482). . . . . \$ 670.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482) but  
international search fee paid to USPTO(37 CFR 1.445(a)(2)) . . . . . \$ 760.00Neither international preliminary examination fee (37 CFR 1.482) nor  
international search fee (37 CFR 1.445(a)(2)) paid to USPTO. . . . . \$ 970.00International preliminary examination fee paid to USPTO (37 CFR 1.482) and all  
claims satisfied provisions of PCT Article 33(2)-(4). . . . . \$ 96.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$ 0.00

Surcharge of \$130.00 for furnishing the oath or declaration later than \_\_\_ 20 \_\_\_ 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$130.00

Claims

Number Filed

Number Extra

RATE

Total Claims

14 - 20 =

0

X \$18.00

\$ 0.00

Independent Claims

4 - 4 =

0

X \$80.00

\$ 0.00

Multiple dependent claim(s) (if applicable)

+ \$270.00

\$ 0.00

TOTAL OF ABOVE CALCULATIONS =

\$130.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also  
be filed. (Note 37 CFR 1.9, 1.27, 1.28)

\$ 65.00

SUBTOTAL =

\$ 65.00

Processing fee of \$130.00 for furnishing the English translation later than \_\_\_ 20 \_\_\_ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

+ \$ 0.00

Extension of Time fee in the amount of \$

+ \$ 0.00

TOTAL NATIONAL FEE =

\$ 65.00

Fee for recording the enclosed assignment (37 CFR 1.21(h). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

+ \$ 0.00

TOTAL FEES ENCLOSED =

\$ 65.00

Amount to be  
refunded

\$

Charged

\$

a. ☒ A check in the amount of \$65.00 to cover the above fees is enclosed.

b. \_\_\_ Please charge my Deposit Account No. \_\_\_ in the amount of \$ \_\_\_ to cover the above fees.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to  
Deposit Account No. 19-0082.NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and  
granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Bruce H. Bernstein  
GREENBLUM & BERNSTEIN, P.L.C.  
1941 Roland Clarke Place  
Reston, VA 20191  
(703) 716-1191

SIGNATURE

Bruce H. Bernstein  
NAME

29.027

REGISTRATION NUMBER



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: ASSISTANT COMMISSIONER FOR PATENTS

Box PCT  
Washington, D.C. 20231

U.S. APPLICATION NO	FIRST NAMED APPLICANT	ATTY. DOCKET NO
09/622,904	AHN	J P19945

BRUCE H BERNSTEIN  
GREENBLUM & BERNSTEIN  
1941 ROLAND CLARKE PLACE  
RESTON VA 20191

5071

INTERNATIONAL APPLICATION NO

PCT/KR99/00100

FILED DATE

PRIORITY DATE

03/04/99

03/05/98

10/18/00

DATE MAILED

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as

- ☐ a Designated Office (37 CFR 1.494),  
☒ an Elected Office (37 CFR 1.495):

☒ U.S. Basic National Fee.

☒ Copy of the international application in:

- ☒ a non-English language.  
☐ English.

☒ Translation of the international application into English.

☒ Oath or Declaration of inventors(s) for DO/EO/US.

☐ Copy of Article 19 amendments.

☐ Translation of Article 19 amendments into English.

☐ The International Preliminary Examination Report in English and its Annexes, if any.

☐ Translation of Annexes to the International Preliminary Examination Report into English.

☒ Preliminary amendment(s) filed 15 September 00 and \_\_\_\_\_.

☐ Information Disclosure Statement(s) filed \_\_\_\_\_ and \_\_\_\_\_.

☐ Assignment document.

☐ Power of Attorney and/or Change of Address.

☐ Substitute specification filed \_\_\_\_\_.

☐ Statement Claiming Small Entity Status.

☒ Priority Document.

☒ Copy of the International Search Report ☐ and copies of the references cited therein.

☐ Other:

2. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

☐ a. Translation of the application into English. Note a processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.

☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.

☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).

☐ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.

☒ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.

☒ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

3. Additional claim fees of \$ \_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

ALL OF THE ITEMS SET FORTH IN 2(a)-2(d) AND 3 ABOVE MUST BE SUBMITTED WITHIN ONE MONTH FROM THE DATE OF THIS NOTICE OR BY ☐ 21 OR ☒ 31 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

4. Translation of the Annexes **MUST** be submitted no later than the time period set above or the annexes will be cancelled. Note processing fee will be required if submitted later than 30 months from the priority date.

5. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice *MUST* be returned with this response.**

Enclosed: ☒ PCT/DO/EO/917

☐ Notice of Defective Translation

☐ PTO-875

FORM PCT/DO/EO/905 (December 1997)

Telephone: (703) 305-3741

RECEIVED

OCT 20 2000

GREENBLUM & BERNSTEIN, P.L.C.

DEPT-RET  
Room 307  
#3

P19945.A02

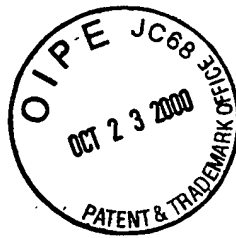
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Jae Yeon AHN

Serial No : 09/622,904

Filed : September 5, 2000

For : THEFT PREVENTION DEVICE FOR INFORMATION-STORED DISK



**REQUEST FOR REFUND**

Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

OFFICE OF INQUIRY  
REFUND REQUEST  
OCT 26 4:05 PM '00  
U.S. PATENT & TRADEMARK OFFICE

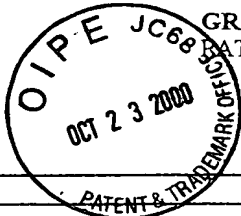
Pursuant to the Notice of February 15, 1983 appearing in 1038 O.G. 276, Applicant respectfully requests a refund of \$459.00 of the filing fee of \$918.00 paid on September 5, 2000 in connection with the filing of the above identified application without an accompanying Verified Statement Claiming Small Entity Status. The basis for this request is the concurrent filing of such a verified statement (copy attached).

Please make payment of the refund by check to the law firm at the address indicated below.

Respectfully submitted,  
Jae Yeon AHN

*Lester J. Bernstein Reg. No. 33329*  
Bruce H. Bernstein  
Reg. No. 29,027

October 20, 2000  
GREENBLUM & BERNSTEIN, P.L.C.  
1941 Roland Clarke Place  
Reston, VA 20191  
(703) 716-1191



GREENBLUM & BERNSTEIN, P.L.C.  
PATENT AND TRADEMARK CAUSES  
1941 ROLAND CLARKE PLACE  
RESTON, VIRGINIA 20191

Applicant or Patentee: \_\_\_\_\_  
Serial or Patent No: \_\_\_\_\_ Attorney's Docket No.: \_\_\_\_\_  
Filed or Issued: \_\_\_\_\_  
For: \_\_\_\_\_

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9 (f) and 1.27(b)) -- INDEPENDENT INVENTOR

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9 (c) for purposes of paying reduced fees under section 41 (a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled THEFT PREVENTION DEVICE FOR INFORMATION-STORED DISK

described in

- ☒ [ X ] the specification filed herewith  
☐ [ ] application serial no. \_\_\_\_\_, filed \_\_\_\_\_  
☐ [ ] patent no. \_\_\_\_\_, issued \_\_\_\_\_

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9 (c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9 (d) or a nonprofit organization under 37 CFR 1.9 (e).

Each person, concern or organization to which I have assigned, granted, conveyed or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ [ ] no such person, concern, or organization  
☐ [ ] persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

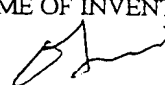
FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
☐ [ ] INDIVIDUAL ☐ [ ] SMALL BUSINESS CONCERN ☐ [ ] NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
☐ [ ] INDIVIDUAL ☐ [ ] SMALL BUSINESS CONCERN ☐ [ ] NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
☐ [ ] INDIVIDUAL ☐ [ ] SMALL BUSINESS CONCERN ☐ [ ] NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

\_\_\_\_\_  
NAME OF INVENTOR NAME OF INVENTOR NAME OF INVENTOR  
  
Signature of Inventor Signature of Inventor Signature of Inventor  
18 SEP 2000  
Date Date Date